



U.S. NUCLEAR REGULATORY COMMISSION

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REGULATORY GUIDE

OFFICE OF NUCLEAR REGULATORY RESEARCH

REGULATORY GUIDE 10.1

COMPILATION OF REPORTING REQUIREMENTS FOR PERSONS SUBJECT TO NRC REGULATIONS

A. INTRODUCTION

The Commission's regulations set forth in Title 10, Chapter I, Code of Federal Regulations, require the submission of various reports in connection with licensed activities. In addition, the Commission's regulations require that each applicant for a license authorizing operation of a production or utilization facility include in the application proposed technical specifications. These technical specifications as approved by the NRC are incorporated into the facility license as conditions of the license and include a section on reporting requirements. This guide is not intended to impose additional reporting requirements or to implement existing requirements. The purposes of this guide are (1) to provide a compilation of reporting requirements applicable to the various types of NRC licensees and other persons subject to NRC regulations and (2) to provide information that would assist in the timely and correct distribution of the reports.

B. REPORT COMPILATION

The reports listed in Appendix A to this guide reflect regulatory or licensing requirements existing at the time of issuance of this guide and include an identification of addressee or addressees, method of transmittal, timing, and type of licensee. It is expected that revisions to this guide will be made periodically as the various reporting requirements are revised or as reporting requirements are added or deleted. The requirements specified in the regulations, conditions of license, or provisions of license technical specifications prevail if there is a conflict between the requirements and the information in this guide.

*The substantial number of changes in this revision has made it impractical to indicate the changes with lines in the margin.

Appendix A does not discuss the specific information that should be contained in the report; for this information, the licensee should refer to the underlying regulation, condition of license, or provision of the license technical specifications. In some cases, the information that is to be submitted by licensees is described in detail in other publications in the regulatory guide series. For example, Regulatory Guide 1.16, "Reporting of Operating Information - Appendix A Technical Specifications," deals with the reporting of operating information for nuclear power plants. This guide does not include the requirements for records that must be maintained by the licensee or reports required for (1) license applications, (2) license amendments, and (3) license terminations.

For the most part, neither the NRC's regulations nor the technical specifications of a facility license specify the number of copies of a report to be submitted by a licensee to the Commission. Submittal of the number of copies of each report as specified by numerals in parentheses under the headings "Primary Recipient" and "Secondary Recipient" in Appendix A would aid in the timely review of the report by the staff. For any new or revised reporting requirement not listed in Appendix A and for which the appropriate number of copies is not specified in the regulations, license condition, or technical specification, contact the appropriate NRC staff for the number of copies needed.

The codes and abbreviations used in Appendix A are identified either by footnotes on the page on which they appear or in a comprehensive listing on page 10.1-15.

The reports listed have been renumbered in this revision. Therefore, the number of a specific report in this revision does not necessarily correspond to the number used for the same report in previous revisions to this guide.

USNRC REGULATORY GUIDES

Regulatory Guides are issued to describe and make available to the public methods acceptable to the NRC staff of implementing specific parts of the Commission's regulations, to delineate techniques used by the staff in evaluating specific problems or postulated accidents, or to provide guidance to applicants. Regulatory Guides are not substitutes for regulations, and compliance with them is not required. Methods and solutions different from those set out in the guides will be acceptable if they provide a basis for the findings requisite to the issuance or continuance of a permit or license by the Commission.

This guide was issued after consideration of comments received from the public. Comments and suggestions for improvements in these guides are encouraged at all times, and guides will be revised, as appropriate, to accommodate comments and to reflect new information or experience.

Comments should be sent to the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Docketing and Service Branch.

The guides are issued in the following ten broad divisions:

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|-----------------------------------|-----------------------------------|
| 1. Power Reactors | 6. Products |
| 2. Research and Test Reactors | 7. Transportation |
| 3. Fuels and Materials Facilities | 8. Occupational Health |
| 4. Environmental and Siting | 9. Antitrust and Financial Review |
| 5. Materials and Plant Protection | 10. General |

Copies of issued guides may be purchased at the current Government Printing Office price. A subscription service for future guides in specific divisions is available through the Government Printing Office. Information on the subscription service and current GPO prices may be obtained by writing the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Publications Sales Manager.

APPENDIX A

COMPILATION OF REPORTING REQUIREMENTS FOR PERSONS SUBJECT TO NRC REGULATIONS

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|-----|-------------------|---|----------------------|--|--------|-------------------|-----------------------------------|
| 1. | All | Radiation exposure data to employees | § 19.13(b) | When requested by worker | W | Individual | MPA (1) |
| 2. | All | Radiation exposure data to former employees | § 19.13(c) | Within 30 days of request or determination of exposure | W | Individual | MPA (1) |
| 3. | All | Radiation exposure data to terminating employees | § 19.13(e) | At termination | W | Individual | MPA (1) |
| 4. | All | Respiratory protection program | § 20.103(e) | 30 days prior to use of equipment | W | RO (1) | DCD (1) |
| 5. | All | Bioassay services | § 20.108 | As requested by Commission | W | EDO (1) | None |
| 6. | All | Report of excessive radioactive contamination on package of radioactive material on receipt | § 20.205 (b)(2) | Immediately | P,T | RO | Final deliver- ing carrier |
| 7. | All | Report of excessive radiation levels external to the package on receipt | § 20.205 (c)(2) | Immediately | P,T | RO | Final deliver- ing carrier |
| 8. | All | Theft or loss of licensed material | § 20.402(a) | Immediately | P | RO | None |
| 9. | All | Theft or loss of licensed material | § 20.402(b) | 30 days | W | RO (1) | IE (1) |
| 10. | All | Additional information on theft or loss | § 20.402(c) | Within 30 days | W | RO (1) | IE (1) |
| 11. | All | Report of incident | § 20.403(a) | Immediately | P,T | RO | None |
| 12. | All | Report of incident | § 20.403(b) | 24 hours | P,T | RO | None |
| 13. | All | Overexposure of individual and excessive levels and concentrations of radioactivity. | §§ 20.405(a), 20.409 | 30 days | W | RO (1) | IE (1); Exposed individual (1) |
| 14. | All | Personnel exposure and monitoring reports | § 20.407 | Annually, first calendar quarter | W | MPA (1) | None |

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|-----|-------------------|---|----------------------|--|--------|--------------------------------|------------------------|
| 15. | All | Personnel exposure at termination of employment | §§ 20.408(b), 20.409 | 30 days after determination of exposure or 90 days after termination, whichever is earlier | W | MPA (1) | Exposed individual (1) |
| 16. | All | Failure to comply or existence of a defect | § 21.21(b) | 2 days | P,T | IE or RO | None |
| 17. | All | Failure to comply or existence of a defect | § 21.21(b) | 5 days | W | IE or RO (1) | DCD (1) |
| 18. | C | Reports required as conditions of Parts 30-35 licenses | § 30.34 (c)(4) | Specified in license condition | | Specified in license condition | |
| 19. | C | Transfer of tritium; Form DOE/NRC-741; report by shipper | § 30.55(a) | Promptly | W | DOE (1) | Receiver (3) |
| 20. | C | Transfer of tritium; Form DOE/NRC-741; report by receiver | § 30.55(a) | 10 days after receipt of material | W | DOE (1) | Shipper (1) |
| 21. | C | Tritium inventory report | § 30.55(b) | Semiannually | W | DOE (1) | None |
| 22. | C | Attempted theft or unlawful diversion of tritium | § 30.55(c) | Promptly | P,T | RO | None |
| 23. | C | Attempted theft or unlawful diversion of tritium | § 30.55(c) | 15 days | W | RO (1) | IE (1) |
| 24. | C | Failure of or damage to shielding, on-off mechanism or indicator; detection of removable radioactive material | § 31.5 (c)(5) | 30 days | W | RO (1) | DCD (1) |
| 25. | C | Transfer of device to specific licensee | § 31.5(c)(8) | 30 days | W | NMSS (1) | None |
| 26. | C | Transfer of device to general licensee | § 31.5 (c)(9)(i) | 30 days | W | NMSS (1) | None |
| 27. | C | Registration; Form NRC-483 | § 31.11(b) | Prior to use of byproduct material | W | NMSS (3) | None |
| 28. | C | Report of changes of information furnished on Form NRC-483 | § 31.11(e) | 30 days | W | NMSS (3) | None |

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|-----|-------------------|---|---------------------|------------------------------------|--------|-------------------|---------------------|
| 29. | C | Material transfer report by § 32.11 licensee | § 32.12 | Annually | W | NMSS (2) | RO (1) |
| 30. | C | Transfer of material report by § 32.14 or § 32.17 licensee | § 32.16 | Annually | W | NMSS (2) | RO (1) |
| 31. | C | Transfer of material report by § 32.18 licensee | § 32.20 | Annually | W | NMSS (2) | RO (1) |
| 32. | C | Transfer of material report by § 32.22 licensee | § 32.25(c) | Annually | W | NMSS (2) | RO (1) |
| 33. | C | Transfer of material report by § 32.26 licensee | § 32.29(c) | Annually | W | NMSS (2) | RO (1) |
| 34. | C | Transfer of devices licensed under § 31.5 by § 32.51 licensee to general licensee | § 32.52(a) | Quarterly | W | NMSS (2) | RO (1) |
| 35. | C | Transfer of devices licensed under Agreement State regulations equivalent to § 31.5 | § 32.52(b) | Quarterly | W | State Agency* (1) | DCD (1) |
| 36. | C | Transfer of tritium or promethium-147 licensed under § 31.7 by § 32.53 licensee | § 32.56 | Annually | W | NMSS (2) | RO (1) |
| 37. | C | Leaking of sealed radiographic source | § 34.25(d) | 5 days | W | NMSS (1) | RO (1) |
| 38. | C | Exceeding limit of removable contamination by Group VI licensee | § 35.14 (b)(5)(iii) | 5 days | W | RO (1) | IE (1) |
| 39. | C | Exceeding limit of removable contamination revealed by leak test | § 35.14 (e)(3) | 5 days | W | RO (1) | IE (1) |
| 40. | C | Physician Registration Form NRC-482 | § 35.31(b) | Prior to use of byproduct material | W | NMSS (3) | None |
| 41. | C | Changes of information furnished on Form NRC-482 | § 35.31(d) | 30 days | W | NMSS (2) | None |

*Responsible Agreement State Agency.

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|-----|-------------------|--|----------------|--------------------------------|--------|--------------------------------|---|
| 42. | C | Therapy procedure misadministration | § 35.42(a) | Immediately | P | RO | None |
| 43. | C | Therapy procedure misadministration | § 35.42(a) | 24 hours | P | Ref. Phy.* | Patient** |
| 44. | C | Therapy procedure misadministration | § 35.42(b) | 15 days | W | RO (1) | Ref. Phy. (1); Patient (1); DCD (1) |
| 45. | C | Diagnostic procedure misadministration | § 35.43 | Quarterly | W | Ref. Phy. (1) | RO (1) |
| 46. | D | Registration of general licensee who receives, acquires, possesses, or uses depleted uranium | § 40.25 (c)(1) | 30 days after first receipt | W | IE (1) | None |
| 47. | D | Change to registration | § 40.25(c)(2) | 30 days | W | IE (1) | None |
| 48. | D | Registration certificate - filed by transferor | § 40.25 (d)(3) | Promptly | W | Transferee (1) | DCD (1) |
| 49. | D | Registration certificate - transfer | § 40.25(d)(4) | 30 days | W | IE (1) | None |
| 50. | D | Failure of retention system | § 40.26(c)(2) | Immediately | P,T | IE or RO | None |
| 51. | D | Transfer of material licensed under § 40.25 | § 40.35(d) | Promptly | W | Receiver (1) | None |
| 52. | D | Transfer of material licensed under § 40.25 | § 40.35(e)(1) | Quarterly | W | IE (1) | None |
| 53. | D | Transfer of devices under Agreement State regulations equivalent to § 40.25 | § 40.35 (e)(2) | Quarterly | W | State Agency*** | DCD (1) |
| 54. | D | Reports required as conditions of Part 40 license | § 40.41 (e)(4) | Specified in license condition | | Specified in license condition | |
| 55. | D | Nuclear Material Transaction Report - Form DOE/NRC-741 filed by shipper | § 40.64(a) | Promptly | W | DOE (1) | Receiver (3) |

*Referring physician.

**Or responsible relative or guardian.

***Responsible Agreement State Agency.

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|-----|-------------------|---|----------------------------|---|--------|-------------------|---------------------|
| 56. | D | Nuclear Material Transaction Report - Form DOE/NRC-741 filed by receiver | § 40.64(a) | 10 days after receipt of material | W | DOE (1) | Shipper (1) |
| 57. | D | Statement of source material inventory | § 40.64(b) | Annually | W | DOE (1) | None |
| 58. | D | Unlawful diversion of source material | § 40.64(c) | Promptly | P,T | RO | None |
| 59. | D | Unlawful diversion of source material | § 40.64(c) | 15 days | W | RO (1) | IE (1) |
| 60. | D | Effluent Monitoring Report | § 40.65 | Semiannually | W | RO (1) | IE (1) |
| 61. | D | Ceasing operations due to emission controls | § 40, App. A.I, Crit. 8 | 10 days subsequent to restart | W | RO (1) | DCD (1) |
| 62. | D | Failure of retention system | § 40, App. A.I, Crit. 8A | Immediately | P,T | RO or IE | None |
| 63. | D | Annual site inspection | § 40, App. A.IV | 60 days | W | NMSS | None |
| 64. | A | Effluent releases report | § 50.36a(a)(2), Tech Specs | Semiannually | W | RO (1) | DCD (1) |
| 65. | A,B | Changes in security plan made without prior approval | § 50.54(p) | Two months after change | W | NRR or NMSS (2) | MPA (1) |
| 66. | A,B | Changes in emergency plan made without prior approval | § 50.54(q) | 30 days after change or proposed to NRC | W | RO (1) | DCD (1) |
| 67. | A,B | Construction deficiency report | § 50.55(e)(2) | 24 hours | P,T | RO | None |
| 68. | A,B | Construction deficiency report | § 50.55(e)(3) | 30 days | W | RO (1) | DCD (1) |
| 69. | A,B | Facility changes, tests, and experiments conducted without prior approval | § 50.59(b) | Annually or as otherwise specified in license | W | RO (1) | DCD (1) |
| 70. | A,B | Financial report | § 50.71(b) | Annually | W | NRR (10) | None |

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|-----|-------------------|--|-----------------------------|---|--------|-------------------|---------------------|
| 71. | A,B | FSAR updating | § 50.71(e)(1) | Annually | W | NRR (12) | None |
| 72. | A,B | Significant events | § 50.72(a) | Prompt (1 hour) | P | OP CTR | None |
| 73. | A,B | Financial report | Part 50, App. C, Sec. III | Annually | W | NRR (10) | None |
| 74. | A,B,F | Emergency notification | Part 50, App. E Sec. IV.D.3 | 15 minutes | P | S&L Gov.* | None |
| 75. | A | Fracture toughness | Part 50, App. G, Sec. V.E | At least 3 years prior to date when the predicted fracture toughness levels will no longer satisfy requirements of Appendix G | W | NRR (1) | None |
| 76. | A | Report of test results of specimens withdrawn from capsules (fracture toughness tests) | Part 50, App. H, Sec. IV.A | Variable | W | NRR (1) | None |
| 77. | A | Report of effluents released in excess of design objectives | Part 50, App. I, Sec. IV.A | Within 30 days from end of quarter | W | RO (1) | DCD (1) |
| 78. | A | Reactor containment building integrated leak rate test | Part 50, App. J, Sec. V.B | 3 months | W | NRR (1) | None |
| 79. | A,B | Notification of disability of operator | § 55.41 | 15 days | W | NRR or NMSS (2) | None |
| 80. | A,B | Medical examination | § 55.60(b) | — | W | NRR or NMSS (2) | None |
| 81. | G | Site characterization | § 60.11(g) | Semiannually | W | NMSS (3) | None |
| 82. | G | Changes, tests, and experiments conducted without prior approval | § 60.44(b) | Annually | W | RO (1) | IE (1) |

*State and local governments.

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|-----|-------------------|---|---------------|--|--------|--------------------------------|---------------------|
| 83. | G | Notification of deficiencies | § 60.71(c) | Promptly | W | IE (1) | None |
| 84. | E | Reports as conditions of Part 70 license | § 70.32(b)(5) | Specified in license condition | | Specified in license condition | |
| 85. | E | Changes in material control and accounting program made without prior approval | § 70.32(c) | 2 months or 6 months (depending on isotopes) | W | NMSS (2) | RO (1) |
| 86. | E | Changes in plan for physical protection of SNM in transit made without prior approval | § 70.32(d) | 2 months | W | NMSS (2) | RO (1) |
| 87. | E | Changes in security plan without prior approval | § 70.32(e) | 2 months | W | NMSS (2) | RO (1) |
| 88. | E | Changes in safeguards contingency plans without prior approval | § 70.32(g) | 2 months | W | NMSS (2) | RO (1) |
| 89. | E | Changes in emergency plan made without prior approval | § 70.32(i) | 6 months | W | NMSS (2) | RO (1) |
| 90. | A,B,E | Accidental criticality or loss of SNM | § 70.52(a) | Immediately | P,T | RO | None |
| 91. | A,B,E | Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM | § 70.52(b) | Immediately | P,T | RO | None |
| 92. | A,B,E | Material status report, Form DOE/NRC-742 and 742C | § 70.53(a) | Semiannually | W | DOE (1) | None |
| 93. | A,B,E | Unaccounted for SNM exceeding applicable limits | § 70.53(b) | 30 days after start of ending physical inventory | W | RO (1) | IE (1) |
| 94. | A,B,E | Nuclear Material Transaction Report Form DOE/NRC-741 filed by shipper | § 70.54 | Promptly | W | DOE (1) | Receiver (3) |
| 95. | A,B,E | Nuclear Material Transaction Report Form DOE/NRC-741 filed by receiver | § 70.54 | 10 days after receipt of material | W | DOE (1) | Shipper (1) |
| 96. | E | Effluent Monitoring Report | § 70.59 | Semiannually | W | RO (2) | IE (1) |

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|------|-------------------|---|--|--|----------|-------------------|---------------------|
| 97. | All | Accident reports required by DOT on transportation of licensed material | § 71.5(b) (See 49 CFR 171.15, 171.16) | Immediate 15 days | P,T W | RO NMSS (5) | None RO (1) |
| 98. | All | Request for registration as user of authorized packages | § 71.12 (b)(1)(iii) | Prior to use of package | W | NMSS (3) | None |
| 99. | All | Reductions in effectiveness of authorized package during use | § 71.61 | 30 days | W | NMSS (2) | None |
| 100. | A,B,C, E,F | Fabrication of package with excess decay heat load or pressure | § 71.63(c) | 45 days prior to fabrication | W | IE (1) | None |
| 101. | F | Effluent Report | § 72.33(d)(3) | Annually | W | NMSS (4) | None |
| 102. | F | Changes in physical security plan without prior approval | § 72.33(e) and § 72.84(b) | 2 months | W | NMSS (4) | RO (1) |
| 103. | F | Changes in emergency plan without prior approval | § 72.33(f) | 6 months | W | RO (1) | NMSS (4) |
| 104. | F | Changes, tests, and experiments conducted without prior approval | § 72.35 (b)(2) | Annually or as otherwise specified | W | RO (1) | NMSS (4) |
| 105. | F | SAR update | § 72.50(b) | Annually | W | NMSS (12) | None |
| 106. | F | Accidental criticality or loss of SNM | § 72.52 | Immediately | P,T | RO | None |
| 107. | F | Material Status Report Form DOE/NRC-742 | § 72.53 | Semiannually | W | DOE (1) | None |
| 108. | F | Nuclear Material Transfer Report Form DOE/NRC-741 filed by shipper | § 72.54 | Promptly | W | DOE (1) | Receiver (3) |
| 109. | F | Nuclear Material Transfer Report Form DOE/NRC-741 filed by receiver | § 72.54 | 10 days after received, unloaded, and verified | W | DOE (1) | Shipper (1) |
| 110. | F | Financial report | § 72.55(b) | Annually | W | NMSS (4) | None |
| 111. | F | Preoperational test criteria and results | § 72.56(e) | 30 days prior to receipt of fuel | W | NMSS (4) | None |

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|------|-------------------|--|---|-------------|--------|-------------------|---------------------|
| 112. | F | Changes in safeguards contingency plan without prior approval | § 72.84(b) | 2 months | W | NMSS (4) | RO (1) |
| 113. | A,B,E,F | Failure to receive periodic calls during SNM shipment - road | § 73.26 (i)(6) | Immediately | P | LEA* | RO |
| 114. | A,B,E,F | Failure to receive periodic calls during SNM shipment - rail | § 73.26 (k)(4) | Immediately | P | LEA* | RO |
| 115. | A,B,E,F | Delivery of SNM | § 73.27(a)(1) | Immediately | P,T | Consignee | None |
| 116. | A,B,E,F | Receipt of shipment of SNM by licensee | § 73.27(b) | Immediately | P,T | Deliverer | RO |
| 117. | A,B,E,F | Failure of shipment of SNM to arrive at destination - notification by consignee | § 73.27(b) | Immediately | P,T | RO | Deliverer |
| 118. | A,B,E,F | Action taken to trace shipment of SNM - notification by licensee who made the physical protection arrangements | § 73.27(b) | Immediately | P,T | RO | None |
| 119. | A,B,E,F | Results of trace investigation of lost or unaccounted for shipment of SNM | § 73.67 (e)(3)(vi) § 73.67 (g)(3)(iii) § 73.71(a) | Immediately | P,T | RO | None |
| 120. | A,B,E,F | Results of trace investigation of lost or unaccounted for shipment of SNM | § 73.71(a) | 15 days | W | RO (1) | IE (1) |
| 121. | A,B,E,F | Report of suspected theft or diversion of SNM or industrial sabotage against plant | § 73.71(b) | Immediately | P,T | RO | None |
| 122. | A,B,E,F | Report of suspected theft or diversion of SNM or industrial sabotage against plant | § 73.71(b) | 15 days | W | RO (1) | IE (1) |
| 123. | A,B,E,F | Explicit threat | § 73.71(c) | 1 hour | P | RO | None |
| 124. | A,B,E,F | Explicit threat | § 73.71(c) | 5 days | W | RO (1) | IE (1) |

*Appropriate law enforcement authority.

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|------|-------------------|---|--------------------------------------|---|--------|-------------------|---------------------|
| | | | | | | | |
| 125. | A,B,E,F | Major loss of physical security effectiveness | § 73.71(c) | 1 hour | P | RO | None |
| 126. | A,B,E,F | Major loss of physical security effectiveness | § 73.71(c) | 5 days | W | RO (1) | IE (1) |
| 127. | A,B,E,F | Potential threat | § 73.71(c) | 24 hours | P | RO | None |
| 128. | A,B,E,F | Potential threat | § 73.71(c) | 5 days | W | RO (1) | IE (1) |
| 129. | A,B,E,F | Major loss of physical security effectiveness which has been properly compensated | § 73.71(c) | 24 hours | P | RO | None |
| 130. | A,B,E,F | Major loss of physical security effectiveness which has been properly compensated | § 73.71(c) | 5 days | W | RO (1) | IE (1) |
| 131. | A,B,E,F | Moderate loss of physical security effectiveness | § 73.71(c) | 24 hours | P | RO | None |
| 132. | A,B,E,F | Moderate loss of physical security effectiveness | § 73.71(c) | 5 days | W | RO (1) | IE (1) |
| 133. | A,B,E,F | Advance notice of shipment | § 73.72 | 7 days prior to shipment | W | RO (1) | DCD (1) |
| 134. | A,B,E,F | Advance notice of shipment | § 73.72 | 7 days prior to shipment | P | RO | None |
| 135. | A,B,E,F | Initial inventory report Form DOE/NRC-741 | § 75.32 | As specified by Commission | W | DOE (1) | None |
| 136. | A,B,F | Inventory change report Form DOE/NRC-741 | § 75.34(a) | When change occurs | W | DOE (1) | None |
| 137. | A,B,F | Material status report Form DOE/NRC-742 and 742C | § 73.35 | 30 days after start of inventory | W | DOE (1) | None |
| 138. | A,B,F | Special report | § 75.36(b) | Immediately per license condition | P,T | RO | None |
| 139. | A,B,F | Advance notification; exports and domestic transfers | § 73.43(b) and (d), § 75.44(a)(1) | 20 days in advance of preparation of material | W | NRR or NMSS (2) | RO (1) |
| 140. | A,B,F | Advance notification; imports | § 75.43(c) § 75.44(a)(2) | 12 days in advance of unpackaging of material | W | NRR or NMSS (2) | RO (1) |
| 141. | A,B,F | Delay in receipt or shipment | § 75.44(c) | As soon as possible | P | RO | None |

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|------|-------------------|--|-----------------|--|--------|---------------------|---------------------|
| 142. | All | Practical application of invention | § 81.32(a)(10) | Annually on anniversary | W | GC (2) | None |
| 143. | All | NRC security facility approval | § 95.15(a) | Promptly | W | SEC (1) | None |
| 144. | All | Unattended security container found open | § 95.25(h) | Immediately | P | Container Custodian | None |
| 145. | All | Unattended security container found open - actions taken | § 95.25(h) | — | W | RO (1) | SEC (1) |
| 146. | All | Security violation | § 95.57 | Immediately | P | RO | None |
| 147. | All | Generation of classified document | § 95.57 | When document classified or classification changed | W | SEC (1) | None |
| 148. | All | Packaging requirements do not meet Part 71 | § 110.50(a)(7) | Promptly | P | IP | None |
| 149. | A,B | Bodily injury or property damage from possession or use of radioactive material resulting in indemnity claim | § 140.6(a) | Promptly | W | NRR or NMSS (3) | None |
| 150. | A,B | Proof of financial protection | § 140.15(a) | As required | W | NRR or NMSS (3) | None |
| 151. | A,B | Change in proof of financial protection | § 140.15(e) | Promptly | W | NRR or NMSS (2) | None |
| 152. | A,B | Financial statement | § 140.15 (b)(1) | Annually | W | NRR or NMSS (3) | None |
| 153. | A,B | Policy renewal | § 140.17(b) | 30 days prior to termination of policy | W | NRR or NMSS (1) | None |
| 154. | A,B | Guarantee of payment of deferred premiums | § 140.21 | Annually | W | NRR or NMSS (1) | None |
| 155. | E | Nuclear Material Transaction Report Form DOE/NRC-741 filed by shipper | § 150.16(a) | Promptly | W | DOE (1) | Receiver (3) |
| 156. | E | Nuclear Material Transaction Report Form DOE/NRC-741 filed by receiver | § 150.16(a) | 10 days after receipt of material | W | DOE (1) | Shipper (1) |

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Secondary Recipient |
|------|-------------------|--|-----------------|---|--------|-------------------|---------------------|
| 157. | E | Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM | § 150.16(b) | Immediately | P | RO | None |
| 158. | E | Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM | § 150.16(b) | 15 days | W | RO (1) | IE (1) |
| 159. | D | Nuclear Material Transaction Report Form DOE/NRC-741 filed by shipper | § 150.17(a) | Promptly | W | DOE (1) | Receiver (3) |
| 160. | D | Nuclear Material Transaction Report Form DOE/NRC-741 filed by receiver | § 150.17(a) | 10 days after receipt of material | W | DOE (1) | Shipper (1) |
| 161. | D | Statement of source material inventory | § 150.17(b) | Annually | W | DOE (1) | None |
| 162. | D | Unlawful diversion or theft of source material | § 150.17(c) | Promptly | P,T | RO | None |
| 163. | D | Unlawful diversion or theft of source material | § 150.17(c) | 15 days | W | RO (1) | IE (1) |
| 164. | C | Tritium transfer report Form DOE/NRC-741 filed by shipper | § 150.19(a) | Promptly | W | DOE (1) | Receiver (1) |
| 165. | C | Tritium transfer report Form DOE/NRC-741 filed by receiver | § 150.19(a) | 10 days after receipt of material | W | DOE (1) | Shipper (1) |
| 166. | C | Tritium inventory report | § 150.19(b) | Semiannually | W | DOE (1) | None |
| 167. | C | Unlawful diversion or theft of tritium | § 150.19(c) | Promptly | P,T | RO | None |
| 168. | C | Unlawful diversion or theft of tritium | § 150.19(c) | 15 days | W | RO (1) | IE (1) |
| 169. | C,D,E | Report of proposed activities in non-Agreement States - Form NRC-241 | § 150.20 (b)(1) | 3 days prior to engaging in each such activity | W | RO (4) | DCD (1) |
| 170. | A | Startup of Reactor | Tech Specs | Within (1) 90 days following completion of the startup test program, (2) 90 days following resumption or commencement of commercial power operation, or (3) 9 | W | RO (2) | IE (36) |

APPENDIX A (Continued)

| No. | Types of Licensee | Report | Required By | Timing | Method | Primary Recipient | Seconda. Recipient |
|------|-------------------|--|-------------|--|--------|-------------------|--------------------|
| | | | | months following initial criticality, which- ever is earliest. If all three events are not completed, supplementary reports every 3 months. | | | |
| 171. | A,B | Monthly Operating Report | Tech Specs | Monthly | W | IE (12) | None |
| 172. | A,B | Reportable occurrence | Tech Specs | 24 hours | P,T | RO | None |
| 173. | A,B | Reportable occurrence | Tech Specs | 14 days | W | RO (1) | DCD (1) |
| 174. | A,B | Reportable occurrence | Tech Specs | 30 days | W | RO (1) | DCD (1) |
| 175. | A,B | Source Leakage Report | Tech Specs | Annually | W | RO (1) | IE (1) |
| 176. | C | Source Leakage Report | Tech Specs | Annually | W | RO (1) | IE (1) |
| 177. | A | Annual Environmental Operating Report (Part A and Part B) | Tech Specs | Annually | W | RO (1) | DCD (18) |
| 178. | A | Nonroutine Environmental Operating Report | Tech Specs | 24 hours | P,T | RO | NRR |
| 179. | A | Nonroutine Environmental Operating Report | Tech Specs | 10 days | W | RO (1) | DCD (1) |
| 180. | A | Nonroutine Environmental Operating Report | Tech Specs | 30 days | W | RO (1) | DCD (1) |
| 181. | A | Radiation Exposure by Functions | Tech Specs | Annually | W | RO (1) | None |

ABBREVIATIONS AND CODES

| Types of Licensee* | | Recipients | |
|--|---|------------|--|
| A | Nuclear Power Reactor Licensees | DCD | Document Control Desk, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 |
| B | Other Production and Utilization Facility Licensees | DOE | U.S. Department of Energy, P. O. Box E, Oak Ridge, Tennessee 37830 |
| C | Byproduct Material Licensees | EDO | Executive Director for Operations, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 |
| D | Source Material Licensees | GC | General Counsel, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 |
| E | Special Nuclear Material Licensees | IE | Director, Office of Inspection and Enforcement, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, ATTN: Document Control Desk |
| F | Independent Spent Fuel Storage Installation Licensees | IP | Assistant Director, Export-Import and International Safeguards, Office of International Programs, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 |
| G | Geologic Repository | MPA | Director, Office of Management and Program Analysis, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 |
| All | All Licensees | NMSS | Director, Office of Nuclear Material Safety and Safeguards, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 |
| Reporting Method | | NRR | Director, Office of Nuclear Reactor Regulation, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, ATTN: Document Control Desk |
| P | Telephone | OP CTR | USNRC Operations Center |
| T | Telegraph, mailgram, or facsimile | RO | Appropriate NRC Regional Office (See Appendix D to Part 20 or Appendix A to Part 73) |
| W | Written report | SEC | Director, Division of Security, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 |
| Number of Copies | | | |
| The number of copies of each report is specified by numerals in parentheses under the headings "Primary Recipient" and "Secondary Recipient." | | | |
| * It should be noted that Nuclear Power Reactor Licensees and other Production and Utilization Facility Licensees may combine in a single license the activities of other licensee categories that would otherwise be licensed separately. | | | |